



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Hernan G. OTERO, Steven B. HORN, and John TUMILTY

For: APPARATUS, METHODS AND ARTICLES OF MANUFACTURE FOR
CONSTRUCTING AND EXECUTING COMPUTERIZED TRANSACTION
PROCESSES AND PROGRAMS

BOX PATENT APPLICATION
Assistant Commissioner for Patents
Washington, DC 20231

INFORMATION DISCLOSURE STATEMENT TRANSMITTAL LETTER

Enclosed herewith is a Information Disclosure Statement pursuant to 37 CFR. § 1.56 in connection with the above-identified application, which statement is being filed:

- ☒ Together with the present application.
- ☐ Before the first Office Action on the merits or three (3) months from the filing date of this application, whichever occurs last. [37 CFR § 1.97(b)]
- ☐ After the first Office Action on the merits, but before a Final Office Action under §1.113 or Notice of Allowance under §1.311, whichever occurs first. [37 CFR § 1.97(c)]
- ☐ After a Final Office Action under §1.113 or Notice of Allowance under §1.311, but prior to or with payment of the Issue Fee. [37 CFR § 1.97(d)]

Consistent with Applicant's obligations pursuant to 37 CFR §§1.97 and 1.98, the following requirements have been met:

- ☒ No separate requirements are needed.
- ☒ No additional fee is required.

☐ **Fee Under 37 CFR § 1.97(c)**

The fee of \$ _____ for submission of an IDS under § 1.97(c) as set forth in § 1.17(p) accompanies this statement.

☐ **Petition Under 37 CFR § 1.97(d)**

This is a petition requesting consideration of an IDS under § 1.97(d). The petition fee of \$ _____ set forth in § 1.17(i)(1) accompanies this petition.

☐ **Certification Under 37 CFR § 1.97(e)**

Each item of information contained in this statement was either:

- ☐ cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement; or
- ☐ not known to any individual designated in § 1.56(c) more than three months prior to the filing of this statement.

Provision of Copies of References

- ☒ Copies of all cited references are enclosed.
- ☐ A copy of the ABSTRACT of each of the references listed on the attached Form PTO-1449 is enclosed herewith and forms a part hereof.
- ☐ A partial translation of Reference ____ is enclosed herewith and forms a part hereof.
- ☐ A copy of the European Search Report from a corresponding or related EPO application is enclosed herewith.
- ☐ A copy of the International Search Report from a corresponding or related PCT application is enclosed herewith.

Identification of Prior Application(s) In Which Listed Information Was Already Cited And For Which No Copies Are Submitted Or Need Be Submitted

- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior Application Serial No. _____, filed on _____. The following references were submitted to, and/or cited by, the Office in the prior application(s) and therefore are not required to be provided in this application:
- ☐ The Commissioner is hereby authorized to charge any fees associated with this communication or credit any overpayment to Deposit Account No. 50-0979. A duplicate copy of this transmittal is attached.

Respectfully submitted,



Joseph E. Chovanes
Registration No. 33,481

Date: January 31, 2001

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INFORMATION DISCLOSURE STATEMENT

This Information Disclosure Statement is submitted to the U.S. Patent and Trademark Office pursuant to Applicants' duty under §37 C.F.R. §1.56, accompanied by a Form PTO-1449 listing each reported reference. A copy of each listed reference is enclosed.

All of the aforesaid reported references are respectfully requested to be considered in connection with examination of this application, and to be made of record herein.

Respectfully submitted,

Date: January 31, 2001



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Registration No. 33,481

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

ATTY. DOCKET NO.

21710-CIPHER1

SERIAL NO.

N/A

APPLICANT

Hernan G. Otero, Steven B. Horn, John Tumilty

FILING DATE

GROUP

Sheet 1 of 1

U.S. PATENT DOCUMENTS

EXAMINER INITIALS	Cite No.	DOCUMENT NUMBER	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
	A	6,134,535	BELZBERG	10/17/2000	
	B	5,950,176	KEISER <i>et al.</i>	09/07/1999	
	C	5,918,218	HARRIS <i>et al.</i>	06/29/1999	

FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No.	Office	DOCUMENT NUMBER	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

(Form PTO-1449)